

**UNITED STATES DISTRICT COURT  
DISTRICT OF MASSACHUSETTS**

**LATENTZERO, INC.,**

**Plaintiff,**

**v.**

**ENVISION FINANCIAL  
SYSTEMS, INC.,**

**Defendant.**

**05 10962 RGS**

Civil Action No.

RECEIPT # 64146  
AMOUNT \$ 250.00  
SUMMONS ISSUED 1  
LOCAL RULE 4.1 -  
WAIVER FORM -  
MOF ISSUED -  
BY DPTY. CLK. M.P.  
DATE 5/10/2005

MAGISTRATE JUDGE LTS

**VERIFIED COMPLAINT**

This is an action for injunctive relief and monetary damages under the Lanham Act and the laws of the Commonwealth of Massachusetts arising out of defendant Envision Financial Systems, Inc.'s infringement of a trademark belonging to plaintiff LatentZero, Inc.

**PARTIES**

1. Plaintiff LatentZero, Inc. ("LatentZero") is a Delaware corporation with a principal place of business at 160 Federal Street, 16<sup>th</sup> Floor, Boston, Massachusetts.

2. Defendant Envision Financial Systems, Inc. ("Envision") is a California corporation with a principal place of business at 15661 Redhill Avenue, Suite 150, Tustin, California.

**JURISDICTION AND VENUE**

3. This Court has subject matter jurisdiction under 15 U.S.C. § 1121 and 28 U.S.C. §§ 1331 and 1338, as this action arises under the Lanham Act, 15 U.S.C. §§ 1051, *et seq.*

4. This Court has personal jurisdiction over Envision because Envision has conducted business in Massachusetts by purposefully and successfully soliciting business from Massachusetts residents. This Court also has personal jurisdiction because Envision has caused tortious injury to LatentZero in Massachusetts as a result of the acts described below.

5. Venue is proper in this Court under 28 U.S.C. § 1391.

### **FACTUAL ALLEGATIONS**

#### **LatentZero and the Sentinel Mark**

6. LatentZero is a global technology firm that specializes in front office portfolio management, trading and compliance software products for asset management companies, insurance companies, banks and other financial institutions.

7. LatentZero offers a group of products known collectively as “Capstone.”

8. Capstone is used by six of the world’s top ten asset management firms. More than 3,500 portfolio managers, traders and compliance officers worldwide rely on Capstone to manage assets in excess of \$7.5 trillion.

9. Capstone is comprised of three software products that can be implemented separately or together as a complete solution. The Capstone components include: Tesseract, a decision support and order generation application; Minerva, a global order management and trading system; and SENTINEL™, a compliance management software application.

10. LatentZero named its compliance management software “SENTINEL™” in 1999.

11. An Application has been filed with the United States Patent and Trademark Office for Registration of the brand “SENTINEL™.” A true and correct copy is attached as **Exhibit 1**.

12. LatentZero, Inc. has a license to use the SENTINEL™ mark from LatentZero, Ltd.

13. SENTINEL™ is a state-of-the art software product that enables asset managers to automatically detect and prevent breaches of client, regulatory and management investment restrictions on a pre- and post-trade basis.

14. Since 1999, LatentZero has continuously used the SENTINEL™ mark in interstate commerce to identify its compliance software and to distinguish its software from products made and sold by others. Among other things, LatentZero displays the SENTINEL™ mark on its compliance software and containers. It also has prominently displayed the SENTINEL™ mark throughout its website at [www.latentzero.com](http://www.latentzero.com), where LatentZero provides detailed information about its products and services, and on training materials, user documentation, marketing collateral, trade show booths, industry articles, and directory listings.

15. LatentZero spends approximately half a million dollars each year marketing its products, including SENTINEL™. LatentZero is an industry leader and its marks, including SENTINEL™, are widely recognized by its customer base.

16. LatentZero has generated substantial goodwill within the industry in connection with the SENTINEL™ mark.

17. The SENTINEL™ mark has acquired secondary meaning throughout the industry and consumers have come to associate the mark with the high quality, innovative products that LatentZero offers throughout the world.

**Envision's Infringement of the SENTINEL™ Mark**

18. Envision describes itself as a provider of software solutions to the institutional and mutual fund asset management markets.

19. Envision maintains an interactive website at [www.enfs.com](http://www.enfs.com). This website is accessible twenty-four hours a day, seven days a week to all Massachusetts residents. Envision

uses its website to advertise products and to solicit business. Envision's website provides detailed information about each of its products and encourages customers to contact Envision's sales staff by phone or e-mail at [sales@enfs.com](mailto:sales@enfs.com). The site boasts "24x7" customer support availability by e-mail at [support@enfs.com](mailto:support@enfs.com) and by other means.

20. Envision has specifically targeted and sold its products to Massachusetts businesses as is evidenced by the Brown Brothers' Harriman testimonial on Envision's website. A true and correct copy of the testimonial printed from the website is attached as **Exhibit 2**.

21. The Brown Brothers' Harrinen testimonial is from a member of the Company's Massachusetts office as evidenced by the phone number for this employee found on the Brown website. A true and correct copy of the printout is attached as **Exhibit 3**.

22. In October 2004, Envision announced the launch of its new "CENTINEL" compliance module to its PowerAgent program. Like LatentZero's SENTINEL™ program, CENTINEL is used to detect and prevent regulatory breaches. A true and correct copy of a press release announcing CENTINEL is attached hereto as **Exhibit 4**.

23. Front and center on Envision's website home page was the following announcement: "INTRODUCING CENTINEL FOR COMPLIANCE. When it comes to compliance, rely on the new Centinel compliance module for the certainty of meeting regulations...." A true and correct copy of the home page printed from Envision's website is attached hereto as **Exhibit 5**.

24. The Envision website home page also provides a link for customers to download a two page listing of "Complete Centinel Features". A true and correct copy of the listing of features is attached hereto as **Exhibit 6**.

25. LatentZero's SENTINEL™ program and Envision's CENTINEL program are both advertised and sold in virtually the same markets. Both are computer software programs that are marketed to financial services organizations, such as asset management firms and mutual fund companies, to assist such organizations in complying with their regulatory obligations.

26. Given the obvious similarities between the SENTINEL™ and CENTINEL marks and the parties' products, target markets and customers, Envision's use of the name CENTINEL is likely to cause confusion among consumers.

27. LatentZero wrote to Envision on December 9, 2004, stating that LatentZero had recently learned that Envision was using the name CENTINEL for its financial services compliance software, and requesting that Envision contact LatentZero to discuss how the parties might ensure that no confusion or infringement would occur. A true and correct copy of LatentZero's letter is attached hereto as **Exhibit 7**.

28. To date, Envision has failed to respond to LatentZero's letter and continues to use and advertise the CENTINEL mark in interstate commerce.

**COUNT I**  
**Trademark Infringement**  
**15 U.S.C. § 1125(a)**

29. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 28 above.

30. Since 1999, LatentZero has continuously used the SENTINEL™ mark in interstate commerce in connection with its financial services compliance software.

31. The SENTINEL™ mark is inherently distinctive and is identified with the products that LatentZero offers. SENTINEL™ symbolizes the valuable and extensive goodwill and consumer recognition that LatentZero has built up over the years; the mark is identified with

the high quality, innovative products that LatentZero offers throughout the United States and worldwide.

32. Despite notice of LatentZero's senior use of the SENTINEL™ mark, Envision has engaged in unfair competition and infringed upon the SENTINEL™ mark by using and advertising the name CENTINEL in interstate commerce in connection with Envision's financial services compliance software.

33. Because consumers associate the SENTINEL™ mark with LatentZero, Envision's use of the name CENTINEL is likely to cause confusion among consumers.

34. Envision has infringed upon LatentZero's mark, as alleged above, with the intent to deceive the public into believing that goods sold by Envision are made by, approved by, sponsored by or affiliated with, LatentZero. Envision's acts also were committed with the intent to pass off and palm off Envision's goods as the goods of LatentZero, and with the intent to deceive and defraud the public.

35. As a result of Envision's actions, LatentZero has suffered damage in an amount to be determined at trial.

**COUNT II**  
**False Designation**  
**15 U.S.C. § 1125(c)**

36. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 35 above.

37. Envision has caused its financial services compliance software to enter into interstate commerce with the CENTINEL name and designation. Such use of the CENTINEL mark is a false designation of origin that is likely to cause confusion, mistake and deception as to

the affiliation, connection or association of Envision with LatentZero and as to the origin, sponsorship or approval of Envision's compliance software by LatentZero.

38. As a result of Envision's actions, LatentZero has suffered damage in an amount to be determined at trial.

**COUNT III**  
**Trademark Dilution**  
**15 U.S.C. § 1125(c)**

39. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 38 above.

40. The SENTINEL™ mark is a "famous" mark within the meaning of 15 U.S.C. § 1125(c).

41. LatentZero has used the SENTINEL™ mark in interstate commerce since at least 2000.

42. The SENTINEL™ mark is inherently distinctive and is identified with the products that LatentZero offers. SENTINEL™ symbolizes the valuable and extensive goodwill and consumer recognition that LatentZero has built up over the years and is identified with the high quality, innovative products that LatentZero offers throughout the United States and worldwide.

43. Envision's use of the CENTINEL mark is diluting the SENTINEL™ mark by lessening the capacity of the SENTINEL™ mark to identify and distinguish LatentZero's goods and services, and by tarnishing the SENTINEL™ mark.

44. Envision's use of the CENTINEL mark is without LatentZero's permission or authority. Envision's acts also were committed with the intent to dilute and tarnish the SENTINEL™ mark.

45. As a result of Envision's actions, LatentZero has suffered damage in an amount to be determined at trial.

**COUNT IV**  
**Violation of M.G.L. c. 110B, §§ 11-13**

46. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 45 above.

47. Envision's use of the CENTINEL mark is likely to cause confusion, mistake or to deceive and is diluting the SENTINEL™ mark, as described above.

48. Envision's use of the CENTINEL mark is without LatentZero's permission or authority. Envision's acts also were committed with the intent to cause confusion, mistake or deception, and to dilute the SENTINEL™ mark.

49. As a result of Envision's actions, LatentZero has suffered damage in an amount to be determined at trial.

**COUNT V**  
**Violation of M.G.L. c. 93A, §11**

50. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 49.

51. At all relevant times, LatentZero and Envision were engaged in trade or commerce within Massachusetts.

52. Envision's acts described above constitute unfair and deceptive acts or practices within the meaning of M.G.L. c. 93A, § 2.

53. Envision's acts were performed willfully and knowingly.

54. As a result of Envision's actions, LatentZero has suffered damage in an amount to be determined at trial.

**COUNT VI**  
**Violation of Common Law Trademark**  
**Infringement and Unfair Competition**

55. LatentZero restates and incorporates herein by reference the allegations in paragraphs 1 through 54.

56. By use of the trademark CENTINEL, Envision has infringed on the trade names and trademarks of LatentZero, has passed off and engaged in unfair competition with LatentZero.

57. As a result of Defendant's infringement of LatentZero's trademarks and its unfair competition, Plaintiffs have suffered and continue to suffer irreparable harm and monetary damages.

WHEREFORE, LatentZero requests that this Court:

A. Enter a preliminary and permanent injunction ordering Envision and its respective officers, agents, servants, employees and representatives, and all those in active concert or participation with them, to refrain from using, authorizing or employing the CENTINEL mark and any other marks that are confusingly similar to LatentZero's SENTINEL™ mark;

B. Enter judgment for LatentZero and against Envision on all counts of the Verified Complaint;

C. Award LatentZero the full amount of its monetary damages;

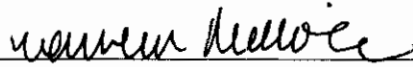
D. Treble such damages as provided by law;

E. Award LatentZero interest, costs and attorneys' fees; and

F. Grant such other relief as the Court deems just and appropriate.

LATENTZERO, INC.,

By its attorneys,



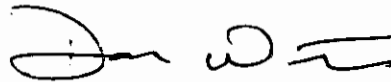
Maureen Mulligan (BBO #556482)  
Brian K. French (BBO #637856)  
RUBERTO, ISRAEL & WEINER, P.C.  
100 North Washington Street  
Boston, Massachusetts 02114  
(617) 742-4200

Dated: May 9, 2005

**VERIFICATION**

I, Daniel Watkins of LatentZero, Inc., under oath do depose and say that I have read the foregoing allegations and that each and every statement of fact contained therein is true to the best of my knowledge, information, or belief.

Signed under the pains and penalties of perjury this 9th day of May, 2005.



Daniel Watkins

U:\MSM\LatentZero\Envision\Pleadings\complaint.doc

UNITED STATES DISTRICT COURT  
DISTRICT OF MASSACHUSETTS

1. TITLE OF CASE (NAME OF FIRST PARTY ON EACH SIDE ONLY) LatentZero, Inc. v. Envision Financial Systems, Inc.
2. CATEGORY IN WHICH THE CASE BELONGS BASED UPON THE NUMBERED NATURE OF SUIT CODE LIST ON THE CIVIL COVER SHEET. (SEE LOCAL RULE 40.1(A)(1))
- |          |      |   |
|----------|------|---|
| —        | I.   | 160, 410, 470, 535, R.23, REGARDLESS OF NATURE OF SUIT  |
| <u>X</u> | II.  | 195, 368, 400, 440, 441-444, 540, 550, 625, 710, 720, 730, 740, 790, 791, 820, 830, 840, 850, 890, 892-894, 895, 950.                       |
| —        | III. | 110, 120, 130, 140, 151, 190, 210, 300, 340, 245, 400, 310, 315, 320, 330, 340, 345, 350, 355, 360, 362, 365, 370, 371, 380, 385, 450, 891. |
| —        | IV.  | 220, 422, 423, 430, 460, 510, 530, 610, 620, 630, 640, 650, 660, 690, 810, 861-865, 870, 871, 875, 900.                                     |
| —        | V.   | 150, 152, 153.  |
3. TITLE AND NUMBER, IF ANY, OF RELATED CASES. (SEE LOCAL RULE 40.1(E))
4. HAS A PRIOR ACTION BETWEEN THE SAME PARTIES AND BASED ON THE SAME CLAIM EVER BEEN FILED IN THIS COURT? no
5. DOES THE COMPLAINT IN THIS CASE QUESTION THE CONSTITUTIONALITY OF AN ACT OF CONGRESS AFFECTING THE PUBLIC INTEREST? no
- IF SO, IS THE U.S.A. OR AN OFFICER, AGENT OR EMPLOYEE OF THE U.S. A PARTY? (SEE 28 USC 2403)
6. IS THIS CASE REQUIRED TO BE HEARD AND DETERMINED BY A DISTRICT COURT OF THREE JUDGES PURSUANT TO TITLE 28 USC 2284? no
7. DO ALL PARTIES IN THIS ACTION RESIDE IN THE CENTRAL SECTION OF THE DISTRICT OF MASSACHUSETTS (WORCESTER COUNTY)? (SEE LOCAL RULE 40.1(C)) YES — OR IN THE WESTERN SECTION (BERKSHIRE, FRANKLIN, HAMPDEN OR HAMPSHIRE COUNTIES)? (SEE LOCAL RULE 40.1(D)) YES No
8. DO ALL OF THE PARTIES RESIDING IN MASSACHUSETTS RESIDE IN THE CENTRAL AND/OR WESTERN SECTIONS OF THE DISTRICT? YES No
- (a) IF YES, IN WHICH SECTION DOES THE PLAINTIFF RESIDE? —
9. IN WHICH SECTION DO THE ONLY PARTIES RESIDING IN MASSACHUSETTS RESIDE? Eastern
10. IF ANY OF THE PARTIES ARE THE UNITED STATES, COMMONWEALTH OF MASSACHUSETTS, OR ANY GOVERNMENTAL AGENCY OF THE U.S.A. OR THE COMMONWEALTH, DO ALL OTHER PARTIES RESIDE IN THE CENTRAL SECTION — OR WESTERN SECTION —

(PLEASE TYPE OR PRINT)

ATTORNEY'S NAME MAUREEN MULLIGANADDRESS Roberto, Israel & Werner, 150 N. Washington St.TELEPHONE NO. Boston, MA 02114

Tel: 617 742-4200.

(COVER.SHT-08/90)

APPENDIX C

JS 44  
(Rev. 07/89)**CIVIL COVER SHEET**

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. (SEE INSTRUCTIONS ON THE REVERSE OF THE FORM.)

**I (a) PLAINTIFFS**

LatentZero, Inc.

**DEFENDANTS**

Envision Financial Systems, Inc.

(b) COUNTY OF RESIDENCE OF FIRST LISTED PLAINTIFF Suffolk  
(EXCEPT IN U.S. PLAINTIFF CASES)COUNTY OF RESIDENCE OF FIRST LISTED DEFENDANT Orange County,  
(IN U.S. PLAINTIFF CASES ONLY) California  
NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED**(c) ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)**

Maureen Mulligan, Esquire  
Ruberto, Israel & Weiner, P.C.  
100 North Washington Street  
Boston, MA 02114  
(617) 742-4200

**ATTORNEYS (IF KNOWN)****05 10962 RGS****II. BASIS OF JURISDICTION**

(PLACE AN X IN ONE BOX ONLY)

- ☐ 1 U.S. Government Plaintiff
- ☒ 3 Federal Question (U.S. Government Not a Party)
- ☐ 2 U.S. Government Defendant
- ☐ 4 Diversity (Indicate Citizenship of Parties in Item III)

**III. CITIZENSHIP OF PRINCIPAL PARTIES**

(For Diversity Cases Only)

(PLACE AN X IN ONE BOX FOR PLAINTIFF AND ONE BOX FOR DEFENDANT)

- |   | PTF                                   | DEF                                   |   | PTF                                   | DEF                        |
|---|---------------------------------------|---------------------------------------|---|---------------------------------------|----------------------------|
| Citizen of This State                   | <input checked="" type="checkbox"/> 1 | <input type="checkbox"/> 1            | Incorporated or Principal Place of Business in This State     | <input checked="" type="checkbox"/> 4 | <input type="checkbox"/> 4 |
| Citizen of Another State                | <input type="checkbox"/> 2            | <input checked="" type="checkbox"/> 2 | Incorporated and Principal Place of Business in Another State | <input type="checkbox"/> 5            | <input type="checkbox"/> 5 |
| Citizen or Subject of a Foreign Country | <input type="checkbox"/> 3            | <input type="checkbox"/> 3            | Foreign Nation  | <input type="checkbox"/> 6            | <input type="checkbox"/> 6 |

**IV. CAUSE OF ACTION**

(CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE.)

DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY:

Lanham Act 15 U.S.C. §1125; 15 U.S.C. 1051 et seq.

**V. NATURE OF SUIT**

(PLACE AN X IN ONE BOX ONLY)

CONTRACT	TORTS		FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES
<input type="checkbox"/> 110 Insurance <input type="checkbox"/> 120 Marine <input type="checkbox"/> 130 Miller Act <input type="checkbox"/> 140 Negotiable Instrument <input type="checkbox"/> 150 Recovery of Overpayment & Enforcement of Judgment <input type="checkbox"/> 151 Medicare Act <input type="checkbox"/> 152 Recovery of Defaulted Student Loans (Excl. Veterans) <input type="checkbox"/> 153 Recovery of Overpayment of Veteran's Benefits <input type="checkbox"/> 160 Stockholders' Suits <input type="checkbox"/> 190 Other Contract <input type="checkbox"/> 195 Contract Product Liability	<b>PERSONAL INJURY</b> <input type="checkbox"/> 310 Airplane <input type="checkbox"/> 315 Airplane Product Liability <input type="checkbox"/> 320 Assault, Libel & Slander <input type="checkbox"/> 330 Federal Employers' Liability <input type="checkbox"/> 340 Marine <input type="checkbox"/> 345 Marine Product Liability <input type="checkbox"/> 350 Motor Vehicle <input type="checkbox"/> 355 Motor Vehicle Product Liability <input type="checkbox"/> 360 Other Personal Injury	<b>PERSONAL INJURY</b> <input type="checkbox"/> 362 Personal Injury—Med Malpractice <input type="checkbox"/> 365 Personal Injury—Product Liability <input type="checkbox"/> 368 Asbestos Personal Injury Product Liability <b>PERSONAL PROPERTY</b> <input type="checkbox"/> 370 Other Fraud <input type="checkbox"/> 371 Truth in Lending <input type="checkbox"/> 380 Other Personal Property Damage <input type="checkbox"/> 385 Property Damage Product Liability	<input type="checkbox"/> 610 Agriculture <input type="checkbox"/> 620 Other Food & Drug <input type="checkbox"/> 625 Drug Related Seizure of Property 21 USC 881 <input type="checkbox"/> 630 Liquor Laws <input type="checkbox"/> 640 R.R. & Truck <input type="checkbox"/> 650 Airline Regs <input type="checkbox"/> 660 Occupational Safety/Health <input type="checkbox"/> 690 Other	<input type="checkbox"/> 422 Appeal 28 USC 158 <input type="checkbox"/> 423 Withdrawal 28 USC 157 <b>PROPERTY RIGHTS</b> <input type="checkbox"/> 820 Copyrights <input type="checkbox"/> 830 Patent <input checked="" type="checkbox"/> 840 Trademark <b>SOCIAL SECURITY</b> <input type="checkbox"/> 861 HIA (1395f) <input type="checkbox"/> 862 Black Lung (923) <input type="checkbox"/> 863 DIWC/DIWW (405(g)) <input type="checkbox"/> 864 SSID Title XVI <input type="checkbox"/> 865 RSI (405(g)) <b>FEDERAL TAX SUITS</b> <input type="checkbox"/> 870 Taxes (U.S. Plaintiff or Defendant) <input type="checkbox"/> 871 IRS—Third Party 26 USC 7609	<input type="checkbox"/> 400 State Reapportionment <input type="checkbox"/> 410 Antitrust <input type="checkbox"/> 430 Banks and Banking <input type="checkbox"/> 450 Commerce/ICC Rates/etc <input type="checkbox"/> 460 Deportation <input type="checkbox"/> 470 Racketeer Influenced and Corrupt Organizations <input type="checkbox"/> 810 Selective Service <input type="checkbox"/> 850 Securities/Commodities/Exchange <input type="checkbox"/> 875 Customer Challenge 12 USC 3410 <input type="checkbox"/> 891 Agricultural Acts <input type="checkbox"/> 892 Economic Stabilization Act <input type="checkbox"/> 893 Environmental Matters <input type="checkbox"/> 894 Energy Allocation Act <input type="checkbox"/> 895 Freedom of Information Act <input type="checkbox"/> 900 Appeal of Fee Determination Under Equal Access to Justice <input type="checkbox"/> 950 Constitutionality of State Statutes <input type="checkbox"/> 890 Other Statutory Actions
<b>REAL PROPERTY</b> <input type="checkbox"/> 210 Land Condemnation <input type="checkbox"/> 220 Foreclosure <input type="checkbox"/> 230 Rent Lease & Ejectment <input type="checkbox"/> 240 Torts to Land <input type="checkbox"/> 245 Tort Product Liability <input type="checkbox"/> 290 All Other Real Property	<b>CIVIL RIGHTS</b> <input type="checkbox"/> 441 Voting <input type="checkbox"/> 442 Employment <input type="checkbox"/> 443 Housing/Accommodations <input type="checkbox"/> 444 Welfare <input type="checkbox"/> 440 Other Civil Rights	<b>PRISONER PETITIONS</b> <input type="checkbox"/> 510 Motions to Vacate Sentence Habeas Corpus: <input type="checkbox"/> 530 General <input type="checkbox"/> 535 Death Penalty <input type="checkbox"/> 540 Mandamus & Other <input type="checkbox"/> 550 Other			

**VI. ORIGIN**

(PLACE AN X IN ONE BOX ONLY)

- ☒ 1 Original Proceeding
- ☐ 2 Removed from State Court
- ☐ 3 Remanded from Appellate Court
- ☐ 4 Reinstated or Reopened
- ☐ 5 Transferred from another district (specify)
- ☐ 6 Multidistrict Litigation
- ☐ 7 Appeal to District Judge from Magistrate Judgment

**VII. REQUESTED IN COMPLAINT:**CHECK IF THIS IS A CLASS ACTION  
☐ UNDER F.R.C.P. 23**DEMAND \$**

Check YES only if demanded in complaint.

**JURY DEMAND:** ☐ YES ☐ NO**VIII. RELATED CASE(S) IF ANY** (See instructions):

JUDGE \_\_\_\_\_ DOCKET NUMBER \_\_\_\_\_

DATE \_\_\_\_\_ SIGNATURE OF ATTORNEY OF RECORD \_\_\_\_\_

5/10/05

Maureen Mulligan

UNITED STATES DISTRICT COURT

**Donna Messina**

---

**From:** TEAS@uspto.gov  
**Sent:** Monday, April 04, 2005 7:47 AM  
**To:** Trademark Alias  
**Subject:** Trademark Application Serial No. 78600820 Received

<MARK> Sentinel (standard characters)

The mark is presented in standard characters without claim to any particular font style, size or color.

We have received your application and assigned serial number '78600820' to your submission. The summary of the application data below serves as your official filing receipt. For electronically-submitted applications, the USPTO will no longer mail a paper filing receipt. If the USPTO later determines that no filing date was justified, your submission will be returned, and your filing fee will be refunded. You could then, if possible, cure the deficiency, and re-file the application.

If you determine that you made an error in the information you entered, you may file a preliminary amendment electronically, stating your proposed correction, at <http://eteas.uspto.gov/V2.0/pa250/WIZARD.htm>.

NOTE: You cannot file a Preliminary Amendment until at least 30 days after initial filing of the application. Prior to that time, the serial number will not appear in the USPTO database (even though the number was assigned at the time of filing), preventing the uploading of new data.

The examining attorney will determine whether the change proposed in the amendment is permissible, within the normal course of his or her review of the application. Please note that not all errors may be corrected; for example, if you submitted the wrong mark or the incorrect goods and/or services, if the proposed correction would be considered a material alteration to your original filing, this will NOT be accepted. Unfortunately, your only recourse in that event is to re-file - your fee would NOT be refunded. Once you submit an application, either electronically or through the mail, we will not cancel the filing or refund your fee, unless the application fails to satisfy minimum filing requirements. The fee is a processing fee, which we do not refund even if we cannot issue a registration after our substantive review.

In approximately 7 months, you will hear from the assigned examining attorney.

NOTE: If you have a question, comment or technical concern about your specific application or TEAS in general, please send that question to [teaskey.uspto.gov](mailto:teaskey.uspto.gov). NOTE: To check status information, please use either <http://tarr.uspto.gov>, or call 703-305-8747 (M-F, 6:30 a.m. to 12 midnight, EST). However, do NOT attempt to check status until at least 45 days after submission, to allow sufficient time for our databases to be updated.

The applicant, LatentZero Limited, a corporation of United Kingdom, residing at 5 Alfred Place, London, , United Kingdom, WC1E7EB, requests registration of the trademark/service mark identified above in the United States Patent and Trademark Office on the Principal Register established by the Act of July 5, 1946 (15 U.S.C. Section 1051 et seq.), as amended.

**\* Classification and Listing of Goods/Services:**

The applicant, or the applicant's related company or licensee, is using the mark in commerce, and lists below the dates of use by the applicant, or the applicant's related company, licensee, or predecessor in interest, of the mark on or in connection with the identified goods and/or services. 15 U.S.C. Section 1051(a), as amended.

International Class 009: Computer software in the field of financial services for use in connection with real time pre-trade compliance and post-trade compliance of securities trading.

In International Class 009, mark was first used at least as early as 11/30/1999, and first used in commerce at least as early as 06/05/2000, and is now in use in such commerce. The applicant is submitting or will submit one specimen for each class showing the mark as used in commerce on or in connection with any item in the class of listed goods and/or, consisting of a(n) A digital image of the "splash" screen clients see when opening the software. .

\*Correspondence Information

The applicant hereby appoints Stacey Friends, Esq. and Debra K. Mayfield, Esq. of Ruberto, Israel & Weiner, PC, 100 N. Washington St., Boston, United States, 02114 to submit this application on behalf of the applicant. The attorney docket/reference number is 08751-33.

\* Fees

A fee payment in the amount of \$325 will be submitted with the application, representing payment for 1 class(es).

\*Declaration Signature

Signature:/prkgracey/ Date: 04/02/2005  
 Signatory's Name: Patrick Gracey  
 Signatory's Position: Commercial Director

=====

=====TEAS XML APPLICATION=====

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# Envision **Financial**

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## CUSTOMERS

### Testimonials

## CUSTOMER TESTIMONIALS

At Envision, our most prized resource is our relationship with our customers. Some of the most respected names in the industry have selected us as their technology partner.

---

"With Envision's PowerAgent, we believe we have a solution that will ensure successful support of our innovative products at now and in the future."

-Kevin McGovern  
Vice President Operations, Rydex Fund Services

---

"BBH has a long-standing reputation of partnering with clients to provide intelligent, creative and effective solutions tailored to solve their business needs. In Envision we sought a company that could support our results oriented approach. By providing a customizable order processing system to integrate different systems, Envision further enhanced our strong capability to provide STP benefits directly to our clients. We look forward to a long and mutually rewarding relationship with Envision."

-Tim Connelly,  
Partner, Brown Brothers Harriman

---

"We choose our partners as carefully as we choose the companies we invest in, and Envision met all our criteria in having a full-featured solution along with the expert personnel to handle our needs."

-Susan Loughridge  
Vice President of Shareholder Services, Parnassus Funds

---

"The staff from Envision is professional, knowledgeable and focused on our needs."


February 2, 2005

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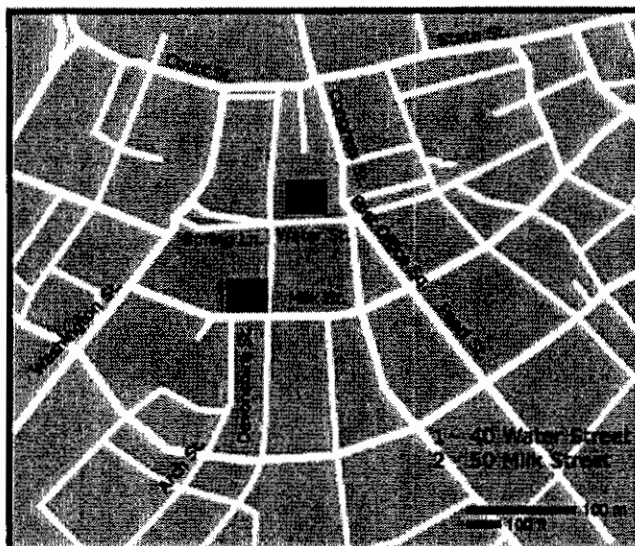
Locations > Boston

## LOCATIONS BOSTON

Brown Brothers Harriman & Co.  
40 Water Street  
Boston, MA 02109-3661  
(617) 742-1818

50 Milk Street  
Boston, MA 02109-3661  
(617) 742-1818

Brown Brothers Harriman Infomediary, LLC  
50 Milk Street  
Boston, MA 02109-3661



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**BROWN =  
BROTHERS  
HARRIMAN**

**Eric Macy**  
Asst. Vice President

eric.macy@bbh.com

44-207-614-2163

**Mireille Galeazzi**  
Asst. Vice President / Rel Mgr. mireille.galeazzi@bbh.com 001-617-772-6327

**Mary Donovan**  
Vice President / Rel. Mgr.      mary.donovan@bbh.com      001-617-772-2146

**Marissa Hanna**  
Client Support Specialist      marissa.hanna@bbh.com      001-617-772-1030

**Matthew Heerwagen**  
Associate / Rel. Mgr. [matthew.heerwagen@bbh.com](mailto:matthew.heerwagen@bbh.com) 001-617-772-1987

**Brian Kelly**  
Vice President / Rel. Mgr.      **brian.kelly@bbh.com**      **001-212-493-8689**

**Scott Stevens**  
Vice President / Rel. Mgr.      [scott.stevens@bbh.com](mailto:scott.stevens@bbh.com)      001-617-772-6160

**John Wiener**  
Client Support Specialist      [john.wiener@bbh.com](mailto:john.wiener@bbh.com)      001-617-772-6095

**Tim Connelly**  
*Partner*

**Eric Lowrey**  
*Vice President*      **eric.lowrey@bbh.com**      **001-617-772-1005**

### Trading Team

**TRADING HOTLINE>>>>>>> 001-212-493-8333**

**Manny Diaz**  
Associate / Head Trader      manny.diaz@bbh.com      001-212-493-8055

**Danny Ehrlich**  
*Trader Specialist*      **daniel.ehrlich@bbh.com**      **001-212-493-8333**

**Michael Healey**  
*Trader Specialist*      michael.healey@bbh.com      001-212-493-8333

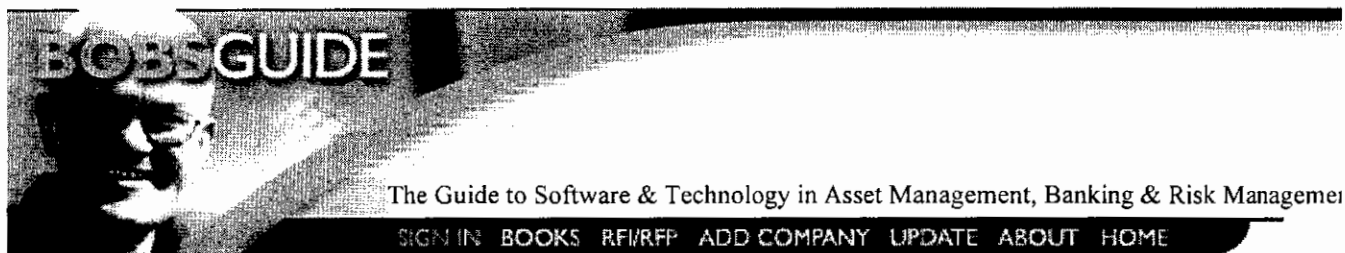
**Felicia Robinson**  
*Trader Specialist*      felicia.robinson@bbh.com      001-212-493-8333

**Kimberly Schell**  
Associate / Client Inquiry  
Supvsr. kimberly.schell@bbh.com 001-201-418-6556

*For assistance before 14:00 GMT, please call the appropriate number below for your BBH Relationship Manager.*

### BBH Client Support Hotline Numbers

**UK clients:** 0-800-893-604



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## News

### Envision Financial Systems Launches Sentinel Compliance Module for TA System

#### New Features In Award-Winning PowerAgent™ Designed To Help CCOs

October 8, 2004, Tustin CA — Envision Financial Systems today announced the new Sentinel Compliance Module for its award-winning PowerAgent™ transfer agency system. Sentinel, to be in full release by November, will be free of charge to PowerAgent™ clients and strive to help make the lives of CCOs easier.

Sentinel will provide features to assist in the detection and prevention of market timing, late trading and issues regarding breakpoints. These include features such as:

- Large Trade Report. CCOs will be notified as to any unusual large movements of funds in particular accounts.
- Breakpoint Monitoring. Monitoring will provide notification to ensure correct breakpoints.
- Redemption Fee. In compliance with the SEC's concerns on market timing, this Sentinel feature will allow fund companies to set a redemption fee amounts for different time periods.
- Cutoff Time. Allows CCOs to set specific cutoff time for trades.

"Based on talking with our clients we determined that these Sentinel features would address the most urgent needs. New CCOs will have a difficult task ahead of them, and we feel our mandate is to empower them with information to make the best possible decisions," says Satnam Gambhir, President of Envision.

"As regulations continue to change, it is important for fund companies to

have a partner who is willing to work with their unique needs to ensure compliance," says Bruce Leto, a partner with the law firm Stradley Ronon who has a unit specializing in the mutual fund industry.

Mr. Gambhir hints at more powerful features to come down the road for the PowerAgent™ Centinel compliance module. "Our software is flexible and powerful enough that we can quickly integrate client recommendations for new features. We are looking into other possibilities in future releases that may include a real-time comprehensive view of company-wide transfer agency compliance activities."

Contact information for Envision Financial Systems, Inc.



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**Nov 7-10, 2004**  
[ICI Operations Conference](#)



## INTRODUCING CENTINEL FOR COMPLIANCE

When it comes to compliance, rely on the new Centinel compliance module for the certainty of meeting regulations. With features such as large trade reports, breakpoint monitoring, redemption fees and cutoff times, PowerAgent will take your firm one step closer to compliance. And with PowerAgent's anti-money laundering and identity verification solutions, you'll be able to stay one step ahead of your competition.

[Click here to download complete Centinel features in PDF](#) (requires Adobe Reader).

- [Take the PowerAgent Quicktour](#)
- [See how PowerAgent Compares](#)
- [Download the PowerAgent Datasheet](#)
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## PowerAgent Centinel Compliance

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Introducing the Centinel Compliance Module for PowerAgent. Building on PowerAgent's award-winning reputation, we've added new compliance monitoring features that are fully integrated into the PowerAgent transfer agency system.

- No expensive add-ons to purchase.
- No complicated installation processes.
- Just the peace of mind that comes with knowing you're covered.

**Highlights:**

- Fully integrated into the PowerAgent transfer agency system
- Compliant with new SEC regulations and recommendations
- New reports to identify and prevent late trading and market timing
- Breakpoint calculations to ensure accuracy

With the flexibility that comes with our dynamic open architecture transfer agency, your CCO will always be one step ahead of the pack.



# PowerAgent Centinel Compliance

## POWERFUL REPORTING AND FEATURES TO MEET YOUR COMPLIANCE NEEDS

### Large Trade report

Identifies transactions before they are posted, that exceed a specified thresholds, giving you the opportunity for review. The report can be run on a select fund or all funds, with separate threshold amounts for single-cycle priced funds and multi-cycle priced funds. The report shows all pending transactions that meet the threshold criteria.

### Breakpoint Sales Monitor

Load fund trades placed through NSCC will be automatically reviewed with linked accounts, the breakpoint calculated by PowerAgent and compared to the load charge sent with the trade. If there is a discrepancy in favor of the shareholder, the load is changed and an error code is assigned to the trade confirmation returned to NSCC.

### Breakpoint Discrepancy Report

This report will pull the accounts that had load discrepancies and list them by dealer, including trade details.

### Market Timing - Monitoring and Reporting

At the fund or account level you can enable transaction monitoring based on time frame and trade amount parameters. Based on your specific threshold criteria the system will monitor and report purchase and redemption activity in any order.

### Trade Cutoff Reporting

Reports will generate at your request listing any trade entered after the funds specified trading cutoff time. Operator ID, transactions source and other vital information will be listed giving you the information you need to verify trade accuracy.

### Redemption Fees

Vesting periods and fee amount options are controlled by our clients at the fund and account type level even for CDSC share classes.

### AML/CIP

New online Identity Verification fields allow our customer to quickly view verification status and required follow up activity. The system can also be used for OFAC searches.

### Confirmation and statement display of sales charges

Based on the SEC Task Force recommendation, statement file extracts are available with sales charge percentage and amount.

### Account Quality Checker

Exception reports have been created to identify accounts with conflicting or missing data. Examples include: 1. Network level 3 accounts are set to have check paid to address of record. 2. Missing required information, such as SSN (for older or converted accounts). 3. Retirement accounts set to receive cash distributions. 4. Shareholder Tax Information screen has incomplete information. 5. U.S. accounts have exception backup withholding indicators and need tax reporting. 6. Retirement accounts missing date of birth.

The reports can be run on a regular basis and the accounts listed reviewed and corrected as necessary.

### Set ERISA limitation - Off Shore Funds

Posting of trade processes check for 25% violation of ERISA account holdings threshold. If the threshold is breached, the trade will be rolled back. This includes exchange purchases.

### ERISA Accounts Summary Report

This report summarizes the funds that have ERISA accounts and lists the fund, outstanding shares, ERISA account shares and percentage of shares outstanding in the fund.

### Identity Verification-Status Report

The Identity Verification Status Report helps fund companies monitor identity verification progress. The report details the account number, the shareholder name and address, the date of subscription, the country of origin, any funds in which the client has held or posted trades, the letters sent and the dates of those letters plus any Identity Verification notes on the account.

### Identity Verification for Review

Identity Verifications that are rejected, suspect, or under investigation are reported based on date and fund parameters

The report sorts the entities by Fund Group, Entity Status, Entity, and Entity ID. It shows the Account Number, Entity ID, Name, Address, Tax ID and Date of Birth for the entity.

### Required Minimum Distribution Reports

**Custodian Account Distribution Amount Report** - This report details the information used to compute the distribution amount for an account. It lists the participant's age, details on beneficiaries and options used in the computations. The report shows all the information required to calculate the RMD, along with the amounts calculated.

**Custodian Accounts Distribution Balance Report** - This report displays the amount distributed year-to-date, the required minimum distribution amount and the remaining amount to be distributed for all custodian retirement accounts where the participants have turned 70 ½ years of age.

The report also lists any Systematic Withdrawal Plans (SWPs) on the account and the next processing date for the SWP along with the account rep.

### TA2 report

THE TA2 report can be run on demand, and supplies trade, as of trades and dividend statistics needed to complete the annual filing of the TA2 with the SEC





**RUBERTO, ISRAEL & WEINER, P.C.**

ATTORNEYS AT LAW

100 North Washington Street  
Boston, Massachusetts 02114  
Telephone 617.742.4200  
Facsimile 617.742.2355  
www.rlw.com

C. Friends  
Ext.: 278  
E-mail: scf@rlw.com

December 9, 2004

***VIA CERTIFIED MAIL (RETURN/RECEIPT/REQUESTED/  
REGULAR MAIL***

Satnam Gambhir, President  
Envision Financial Systems, Inc.  
15661 Redhill Ave., Suite 150  
Tustin, CA 92780

Dear Mr. Gambhir:

We are counsel to LatentZero, Inc., which has an office in Boston, Massachusetts, as well as offices in London, Paris and Frankfurt ("LatentZero").

As you may know, LatentZero is a global technology firm that specializes in front office solutions, including but not limited to compliance software, for asset management organizations. In 1999, LatentZero named its compliance software product "Sentinel." LatentZero began using this trademark in United States interstate commerce in 2000 and continues to use the mark "Sentinel" in connection with its financial services compliance software product in the United States and worldwide. LatentZero spends approximately half a million dollars each year marketing its products including the Sentinel software program. LatentZero's Web site includes numerous references to the Sentinel program, and the Sentinel program is offered for sale to customers through the LatentZero Web site.

It has recently come to LatentZero's attention that your company has begun using the name "Centinel" for financial services compliance software programs. LatentZero is concerned about Envision's adoption of a product name which may cause confusion among potential clients for LatentZero's products.

Please contact us at your earliest convenience so we can discuss how to ensure that no confusion, and thus no infringement, has or will occur. Such discussions would, of course, be without prejudice to any and all of LatentZero's rights and remedies in connection with this matter, all of which are hereby expressly reserved.

Yours truly,

Stacey C. Friends

SCF/dmm

cc: Gail Romano  
Patrick Gracey  
Gene Landy, Esq.

## SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

## 1. Article Addressed to:

Satnam Gambhir, President  
Envision Financial Systems  
15661 Redhill Ave., Suite 150  
Tustin, CA 92780

8751-27

## 2. Article Number

(Transfer from service label)

7003 0500 0001 4259 5731

PS Form 3811, March 2001

Domestic Return Receipt

102595-01-M-1424

## COMPLETE THIS SECTION ON DELIVERY

A. Received by (Please Print Clearly) B. Date of Delivery

C. Signature 2001

X ☒ Agent ☐ Addressee

D. Is delivery address different from item 1? ☐ Yes  
If YES, enter delivery address below: ☐ No

## 3. Service Type

- ☒ Certified Mail ☐ Express Mail  
☐ Registered ☐ Return Receipt for Merchandise  
☐ Insured Mail ☐ C.O.D.

4. Restricted Delivery? (Extra Fee) ☐ Yes

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Street, Apt. No.,  
or PO Box No. 15661 Redhill Ave., Suite 150

City, State, ZIP+4 Tustin, CA 92780

PS Form 3800, June 2002

See Reverse for Instructions

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